

DEFENSE THREAT REDUCTION AGENCY

BROAD AGENCY ANNOUNCEMENT

HDTRA1-14-17-NTA-BAA



CHEMICAL / BIOLOGICAL TECHNOLOGIES DEPARTMENT

NON-TRADITIONAL AGENT INITIATIVES

FY2014 – FY2017 Program Build

MARCH 2013

TABLE OF CONTENTS

SECTION NO.	PAGE NO.
1. INTRODUCTION AND BACKGROUND.....	3
2. PURPOSE.....	3
3. BAA APPROACH AND OVERVIEW.....	5
4. ELIGIBILITY.....	6
5. POINTS OF CONTACT.....	6
6. PROPOSAL SUBMISSION.....	7
7. TOPICS.....	13
8. INFORMATION TO BE REQUESTED FROM SUCCESSFUL OFFERORS.....	13
9. EXPORT CONTROL NOTIFICATION.....	14
10. LIMITATION ON OTHER TRANSACTIONS.....	14
11. TECHNICAL AND ADMINISTRATIVE SUPPORT BY NON-GOVERNMENT PERSONNEL.....	15
12. MANUFACTURING READINESS LEVELS (MRL).....	16
13. SYSTEM FOR AWARD MANAGEMENT (SAM).....	17
14. PROTECTION OF HUMAN SUBJECTS.....	18
15. ANIMAL USE.....	19
16. BIOLOGICAL DEFENSE RESEARCH PROGRAM (BDRP) REQUIREMENTS: BIOSURETY AND SELECT AGENT USE; CHEMICAL AGENT USE.....	20
17. ORGANIZATIONAL CONFLICT OF INTEREST ADVISORY.....	20
18. INTELLECTUAL PROPERTY.....	20
19. EARNED VALUE MANAGEMENT SYSTEM.....	23
20. SUBCONTRACTING.....	23
21. RECOMMENDED AWARD VEHICLE AND CONTRACT TYPE.....	24
22. AUTHORIZED NEGOTIATORS.....	24
23. STATEMENT OF CURRENT AND PENDING SUPPORT.....	25
24. CONFIRMED PROPOSAL EXPIRATION DATE.....	25
25. MODIFIED PREAWARD CHECKLIST – SF 1408.....	25
26. FORWARD PRICING RATE AGREEMENT.....	25
27. EXHIBITS: STANDARD FAR/DFARS/DTRA CLAUSES.....	25
28. EXHIBIT: CONTRACT DATA REQUIREMENTS LIST (CDRL).....	26
29. LIFE SCIENCES DUAL USE RESEARCH OF CONCERN (DURC).....	26
30. LIST OF ATTACHMENTS/EXHIBITS.....	26
ATTACHMENT 1:	TECHNOLOGY READINESS LEVEL (TRL) DEFINITIONS
ATTACHMENT 2:	QUAD CHART TEMPLATE
ATTACHMENT 3:	PHASE I WHITE PAPER FORMAT AND PREPARATION INSTRUCTIONS
ATTACHMENT 4:	PHASE II TECHNICAL PROPOSAL FORMAT AND PREPARATION INSTRUCTIONS
ATTACHMENT 5:	PHASE II COST PROPOSAL FORMAT AND PREPARATION INSTRUCTIONS
ATTACHMENT 6:	SUPPLEMENTAL VOLUME CHECKLIST
ATTACHMENT 7:	STATEMENT OF WORK FORMAT AND PREPARATION INSTRUCTIONS
ATTACHMENT 8:	PROPOSAL SUBMISSION CHECKLIST
ATTACHMENT 9:	MAJOR MILESTONES AND PROPOSAL TOPICS
ATTACHMENT 10:	EVALUATION CRITERIA AND SELECTION PROCESS
ATTACHMENT 11:	STANDARD FORM 1408
ATTACHMENT 12:	DUAL USE RESEARCH CONCERN (DURC) INFORMATION
EXHIBIT 1	LARGE BUSINESS CLAUSE TEMPLATE
EXHIBIT 2	SMALL BUSINESS CLAUSE TEMPLATE
EXHIBIT 3	NON-PROFIT CLAUSE TEMPLATE
EXHIBIT 4	UNIVERSITY CLAUSE TEMPLATE
EXHIBIT 5	INTERNATIONAL CLAUSE TEMPLATE
EXHIBIT 6	SAMPLE CONTRACT DATA REQUIREMENTS LIST

1. INTRODUCTION AND BACKGROUND

1.1. INTRODUCTION

1.1.1. The Defense Threat Reduction Agency's (DTRA) mission is to safeguard America and its allies from Weapons of Mass Destruction (WMD) (chemical, biological, radiological, nuclear, and high yield explosives) by providing capabilities to reduce, eliminate, and counter the threat, and mitigate its effects.

1.1.2. Chemical and Biological Defense Program's (CBDP) Joint Science and Technology Office (JSTO) (also known as DTRA/J9CB) Advanced and Emerging Threats Division (CBS) is tasked with the initial characterization of advanced and emerging threat agents including toxicology, physicochemical properties and environmental fate; it is also tasked with the development of medical countermeasures for chemical threats. This initial characterization provides the basis for the development of both physical and medical countermeasures against advanced and emerging threat agents; and the countermeasure development that provides the basis for ensuring the health both the warfighter and civilian population when dealing with NTAs.

1.1.3. All work performed as a result of this BAA will be subject to the DoD NTA Security Classification Guide (2010 or most current update), as well as other guidelines for responsible use, storage and disposal of NTAs.

1.2 Active topics solicited are presented in Attachment 9. This Broad Agency Announcement (BAA) is an extramural solicitation. Intramural Offerors should respond to the JSTO-CBD Non-Traditional Agent Initiatives FY14-17 Service Call, which mirrors this BAA.

2. PURPOSE

2.1. The purpose of this BAA is to solicit research proposals for Chemical and Biological Defense Program, specifically in the area of Advanced and Emerging Threats to support its mission focused on identifying and developing technologies to assist in countering emerging chemical threats across the CWMD spectrum of missions with the following NTA focus areas:

- a. Expand scientific knowledge required to develop enhanced defensive capabilities against the NTA threat, with emphasis on addressing discrete data gaps associated with emerging chemical threats.
- b. Build spectral and toxicological databases necessary to advance NTA and emerging threat defense technology.
- c. Demonstrate fast and agile scientific responses to enhance or develop capabilities (e.g., detect, identify, report, respond) that address NTAs, emerging threats and items of priority interest.

2.2. The Chemical / Biological Technologies Department (CB), in its continuing mission, is seeking new and innovative ideas for experimental and theoretical development of technologies to fill DOD requirements for chemical and biological defense. The goal is to identify and select

science and technology projects that can be transitioned to joint acquisition programs. Proposals may only address the current topics presented in Attachment 9 of this document.

2.3. The DOD CDBP, DTRA, and the Joint Science and Technology Office for Chemical and Biological Defense (JSTO-CBD) are seeking optimum approaches to meet technology objectives within the following areas: Diagnostics; Detection, and Disease Surveillance; Physical Science and Technology; Translational Medical; Advanced and Emerging Threats; and Information Systems Capability. General goals of each area are listed below. Specific topics (Attachment 9 Attachment 9) may address NTA initiatives within one or more of the areas outlined below:

2.3.1. Detection: The goal of the Detection area is to provide real-time capability to detect, identify, characterize, locate and warn against all known or validated CB warfare agents in addition to other chemical or biological threat materials (e.g., Toxic Industrial Chemicals).

2.3.2. Information Systems Capability Development: The goal of the Information Systems Capability Development area is to provide information technology superiority with respect to the Chemical, Biological, Radiological, and Nuclear (CBRN) environment.

2.3.3. Protection – Individual and Collective: The Protection Capability Area seeks to provide unencumbered full-dimensional protection to the war fighter for both personal protective gear (individual protection) and protection of large scale fixed or mobile environments (collective protection).

2.3.4. Hazard Mitigation: The goal of the Hazard Mitigation Capability Area is to develop technologies that can rapidly restore pre-contamination capabilities with a minimum of logistical impact.

2.3.5. Threat Agent Science: The Threat Agent Science Capability Area seeks to maintain and develop scientific knowledge of current, non-traditional, and emerging threats in addition to studying areas such as low level toxicity, agent fate, and improved simulant materials.

2.3.6. Medical Pretreatments: The goal of the Pretreatments Capability Area is to conduct research in order to develop lead candidate vaccines and chemical pretreatments and protectants that can be administered before exposure to provide both specific and broad-spectrum protection against validated chemical or biological agents. Categories of threat agents addressed in this capability area include nerve agents, viruses, bacteria and toxins.

2.3.7. Medical Diagnostics: Medical diagnostics involves the diagnosis of infection by or exposure to bacterial, viral, or toxin agents (biological diagnostics) or of exposure to nerve, vesicant, respiratory and blood agents (chemical diagnostics) with the goal to rapidly identify the causative agent in a remote environment prior to onset of symptoms.

2.3.8. Threat Surveillance: The goal of the Threat Surveillance area is to deliver cutting edge Integrated Early Warning, Information Management and Applied Analytic capabilities to the warfighter; virtually connect them to these capabilities and other system users for rapid situational awareness, course of action (CoA) analysis and decision support.

3. BAA APPROACH AND OVERVIEW

3.1. This BAA remains effective for proposal selection for three years from the initial date of issuance with the ability to award contracts for four years. Multiple calls for proposals may occur in conjunction with this BAA. The topics and milestones (Attachment 9) published in the initial issuance are firm. In the future, ongoing, new or emerging requirements may necessitate amendment of the BAA to include new or different topics. At any time when new topics are added, Attachment 9 will be amended to incorporate new topics and milestones associated the time period for submissions. These amendments are expected periodically throughout the effect date of the BAA. The BAA may also have a continuously open period (until closed) in which proposal submissions will not be restricted to a standard 30 day Phase I proposal submission. This BAA and amendments issued thereto will be posted to the Federal Business Opportunities (FedBizOpps) website. It is the responsibility of the Offerors and interested parties to be aware of BAA amendments by regularly checking the FedBizOpps website or by registering at www.fbo.gov to receive notifications and updates to this specific solicitation.

3.2. Proposals will be accepted and considered for Applied Research and/or Advanced Technology Development budget activity efforts in support of each topic. Basic Research may only be proposed if combined with either of the aforementioned budget activities. This BAA will not consider Advanced Component Development and Prototypes under Section 819 of Public Law 111-84. However, Offerors may propose efforts necessary to evaluate integrated advanced development to expedite technology transition from the laboratory to operational use under a final option and limited to a period of one year while a new competitive effort can be awarded. Depending on the nature of requirements and/or available funding, each of these research categories may or may not be included in the most current List of Topics.

3.3. The Government encourages proposals that span a wide spectrum of possible technical and business solutions in response to the specific technology topics stated in Attachment 9 of this BAA. The Government reserves the right to award any combination of approaches which offer the best overall value to the Government, and to oversee any and all processes and approaches once ongoing. Proposed collaboration with a DOD laboratory should be clearly identified in the proposal, and must be supported with a letter of intent from that laboratory's Commander. Offerors choosing to use the services of Government Laboratories in the performance of work proposed may be required to enter into a Cooperative Research and Development Agreement (CRADA) with the Laboratory. A CRADA is not a FAR-based agreement; it is authorized by 15 U.S. Code Section 3710(a). A CRADA will be separate from the DTRA procurement instrument, with its own unique terms, in particular related to Intellectual Property. It would be prudent for the Offeror to discuss those unique terms with the Laboratory prior to submitting a proposal under this BAA. DTRA will not facilitate, nor be involved, in the negotiation of the agreements with Government Laboratories.

3.4. A full range of flexible acquisition related statutory authority arrangements available to DTRA are possible resulting from this announcement, including but not limited to, contracts and Other Transaction Agreements (OTA). The Government does not intend to award grants or cooperative agreements under this solicitation. The Government intends to award the most suitable contract type for each selected proposal, which may include Fixed Price, Cost

Reimbursement and Cost Plus Fixed Fee type contracts . Except for OTAs, the Government actions under this BAA shall adhere to the requirements of the Federal Acquisition Regulation (FAR) and Defense Federal Acquisition Regulation Supplement (DFARS).

3.5. Cost type contracts are typically the most suitable instruments for Research and Development efforts. All cost type contracts require the contractor's accounting system to be adequate for accumulating allowable costs applicable to the contract. In such cases, DTRA will request that the Defense Contract Audit Agency (DCAA) perform an audit of each Offeror's accounting system. Any documentation or reference to previous audits should be included in the Offeror's proposal to expedite the DCAA audit process. The Government requires submission of a Modified Preaward Checklist (SF 1408) with the cost proposal to facilitate DCAA's review of the accounting system. Additional assistance for building a compliant cost proposal can be located at <http://www.dcaa.mil> and at Attachment 5. **Failure to attain an adequate accounting system determination by DCAA will preclude an offer from being awarded a *cost type* contract.**

3.6. DTRA intends to create an environment where potential Offerors are willing to share commercially generated research and development with the Government. The Government seeks to ultimately acquire the best products and technology in addition to offering the appropriate level of protection of corporate and institutional intellectual property rights, thus encouraging participation by a broad spectrum of leading-edge technology developers.

3.7. Funding for participation in this program is highly competitive and the cost of proposed technologies should be considered. Historically, awards made from Advanced and Emerging Threat Division (DTRA/J9CBS) topics have ranged from approximately \$175,000 to \$5,000,000 with periods of performance ranging from 12 to 60 months. Awards resulting from this BAA will be made based on the evaluation results of a two-phased proposal process described in "Evaluation Criteria and Selection Process" (Attachment 10). The Government reserves the right to fund all, some, one, or none of the proposals submitted; may elect to fund only part of a submitted proposal; and may incrementally fund any or all awards under this BAA. In either case, the PCO will have the ultimate authority and responsibility to make final scope determinations for selections of proposals that will not be totally funded to ensure the portion selected meets the solicited requirements. In addition, the Government reserves the right to create and maintain a reserve list of proposals for potential funding, in the event that sufficient funding becomes available. All awards are subject to the availability of funds. Offerors that are not responsive to Government requests for information in a timely manner, defined as meeting Government deadlines established and communicated with the request, may be removed from award consideration.

4. ELIGIBILITY

4.1. Proposals submitted for this BAA will be considered from the following U.S. and Foreign Enterprises:

- Industrial/commercial concerns including small businesses
- Accredited Degree granting colleges and universities
- Not-for-profit organizations

- Other Non-US sources

Proposals are encouraged from Historically Black Colleges and Universities (as determined by the Secretary of Education to meet requirements of Title III of the Higher Education Act of 1965, as amended (20 U.S.C. § 1061)) and from Minority Institutions defined as institutions “whose enrollment of a single minority or a combination of minorities...exceeds 50 percent of the total enrollment.” [20 U.S.C. § 1067k(3) and 10 U.S.C. § 2323(a)(1)(C)].

4.2. The following entities MAY NOT participate as prime contractors nor furnish principal investigators in awards made under BAA but may act as subcontractors:

- DOE sponsored FFRDCs
- Federal laboratories other than DOE sponsored FFRDCs specified above
- U.S. Government agencies and organizations
- Academic institutions that are federal Government organizations (e.g., Naval Postgraduate School)

In accordance with Section 4, of this BAA, FAR 17.503(e), DOE Order 481.1C and DOE Acquisition Regulation DEARS 970.1707-3, DOE FFRDC participants must provide a copy of the written certification from the DOE sponsor authorizing its performance of the proposed effort as a subcontractor. The DOE sponsor must provide written certification that the proposed work:

- (1) is consistent with or complementary to missions of DOE and the facility to which the work is to be assigned,
- (2) will not adversely impact programs assigned to the facility.
- (3) will not create a detrimental future burden on DOE resources.

DTRA will provide to the sponsoring agency confirmation that the requested work will not place the FFRDC in direct competition with domestic private industry

In accordance with FAR 17.503(e), 35.017(a)(2) and 35.017-3, FFRDC participants (other than the DOD FFRDCs referenced in Section 4.1 and DOE FFRDCs) must provide documentation from the FFRDC sponsor authorizing its performance of the proposed effort.

FFRDCs and other intramural Offerors interested in serving as prime contractors should see the JSTO-CBD Non-Traditional Agent Initiatives FY14-17 Service Call.

5. POINTS OF CONTACT

E-mail address for all UNCLASSIFIED BAA correspondence and questions	FY14-17-NTA-BAA@dtra.mil
E-mail address for all CLASSIFIED BAA correspondence and questions	FY14-17-NTA-BAA@dtra.smil.mil
BAA Announcements posted in Federal Business Opportunities, FedBizOpps	http://www.fbo.gov
DTRA Proposal Submission Website (requires registration prior to proposal submission)	http://www.dtrasubmission.net
DTRA Website	http://www.dtra.mil

Questions regarding the technical and administrative content of this BAA must be sent to the appropriate DTRA e-mail address listed above. All questions must include the BAA number in the subject line. DTRA will post UNCLASSIFIED questions and answers to the FedBizOpps website that are relevant to all potential Offerors. **It is the Offeror's responsibility to periodically check the FedBizOpps website to view postings of questions and answers, in addition to any applicable amendments to the BAA.**

6. PROPOSAL SUBMISSION


6.1. Major Milestones: Refer to Attachment 9.

6.2. Application and Submission Information.

6.2.1. Registration All Offerors are required to register at the DTRA proposal submission website <http://www.dtrasubmission.net>, as stated in Section 5, prior to submission of Phase I. Detailed registration and submission instructions are available at the site.

The Registration must be submitted by a central Business Point of Contact (BPOC) rather than individual Principal Investigator personnel. A BPOC is a person who is given the responsibility of coordinating all submissions from individual Principal Investigators at his or her work location and is the only individual who may access the DTRA proposal submission website. The intent is that all submissions from an organization be coordinated and submitted by a single, identified responsible party. Failure to register in accordance with instructions may render a prospective Offeror ineligible for participation in this BAA.

IMPORTANT: Registration at the DTRA proposal submission website is NOT the same as registering at System for Award Management website or FedBizOpps websites.

6.2.2 Submission Process All UNCLASSIFIED proposal documents must be submitted electronically through the DTRA proposal submission website. All documents submitted to the DTRA proposal submission website are considered works in progress and are not eligible for evaluation until the Offeror submits the final proposal package for consideration. The final submission must be 'locked' on the DTRA proposal submission website; until a submission has been 'locked' (saved as final), the submission is not eligible for review. Look for this 'lock' icon  on the DTRA proposal submission website. Offerors are responsible for ensuring compliant and final locked submission of their proposals, and can verify the submission of the proposal package with the electronic receipt that appears on the screen following submission of a proposal to the DTRA proposal submission website. Failure to finalize will result in the rejection of the whole proposal. Perform a virus check before uploading any proposal files. If a virus is detected, it may cause rejection of the file. Do not encrypt any files prior to upload. If multiple proposals are being submitted by the same organization, a separate cover sheet must be generated for each proposal, since a unique document number will automatically be assigned to each submission by the electronic proposal tracking system. The files (with the exception of the Quad Chart (Phase I) and the Cost Proposal (Phase II)) must be submitted in a Portable Document File (PDF) format compatible with Adobe Acrobat ® version 11 or earlier. Each

Phase I file must not exceed 2 Megabytes of storage space (uncompressed) and each Phase II file must not exceed 10 Megabytes of storage space (uncompressed). Any proposal submitted by any means other than the DTRA proposal submission website will not be considered (e.g., hand-carried, postal service, commercial carrier, e-mail).

Any proposal document containing CLASSIFIED information must follow CLASSIFIED MAIL SUBMISSION PROCEDURES in Section 6.2.4

6.2.3. Using the DTRA proposal submission website, all Offerors must prepare UNCLASSIFIED Proposal Cover Sheets for each Phase I and invited Phase II proposal submitted. All data point requirements must be completed for every cover sheet. Once the cover sheet is saved, the system will assign a unique proposal number for each Phase I submission and a different unique proposal number for each invited Phase II submission. Cover sheets may be edited as often as necessary until the submission period closes. All submissions must be dated.

6.2.4. CLASSIFIED MATERIAL SUBMISSION

PROPOSALS CONTAINING CLASSIFIED MATERIAL (PER DODD 5200.1R)
CANNOT BE SUBMITTED USING THE DTRA PROPOSAL SUBMISSION WEBSITE.
DO NOT EMAIL CLASSIFIED SUBMISSIONS. Use the following procedure for mailing all CLASSIFIED submissions:

This procedure is applicable to all CLASSIFIED documents submitted to this BAA and is:

- appropriate for transferring secret and confidential documents via Federal Express or the U.S. Postal Service.
- in compliance with DoD 5200.1: C7.1.3 –C7.1.4.

Instructions:

1. Obtain two mailing envelopes.
2. Place documents in envelope 1 and seal with reinforced tape. Stamp with highest classification level and include a complete return address. Affix one address label with the address shown below:

DEFENSE THREAT REDUCTION AGENCY
 ATTN: CB
 6200 Mead Rd.
 FORT BELVOIR VA 22060-5264

3. Place envelope 1 in envelope 2. Include a complete return address, and note "Return Service Requested." Affix a second address label with the address shown below and seal:

DEFENSE THREAT REDUCTION AGENCY
ATTN: J9CBS FY14-17-NTA-SC
6200 Mead Rd.
FORT BELVOIR VA 22060-5264

4. Send envelope 2, via Federal Express, registered U.S. mail or express mail to:

DEFENSE THREAT REDUCTION AGENCY
ATTN: J9CBS FY14-17-NTA-SC
6200 Mead Rd.
FORT BELVOIR VA 22060-5264

5. E-mail FY14-17-NTA@dtra.mil notifying that the package has been sent. Please include tracking information, as available.

6. If all CLASSIFIED proposal components are not time-stamped received by appropriate DTRA personnel prior to the cutoff, the proposal will not be considered. The Offeror must verify the submission of their proposal package by printing the electronic receipt (time and date stamped) that appears on the final screen following compliant submission of a proposal to the DTRA proposal submission website and providing DTRA with a copy of the signed delivery receipt for classified mail.

6.3. Late Submissions and Withdrawal of Proposals.

6.3.1. In accordance with FAR 15.208, Offerors are responsible for access to the DTRA proposal submission website and for submitting proposals (UNCLASSIFIED AND CLASSIFIED) so as to be received at the Government site indicated in this BAA no later than the date specified in the Major Milestones, Attachment 9. When sending electronic files, the Offeror will account for potential delays in file transfer from the originator's computer server to the Government website/computer server. Offerors are encouraged to submit their proposals early to avoid potential file transfer delays due to high demand or problems encountered in the course of the submission. Offerors should also print, and maintain for their records, the electronic date/time stamped receipt that appears on the final screen following submission of a proposal on the DTRA proposal submission website. All submissions shall be fully uploaded before the cut off time/date in order to be considered – No exceptions.

6.3.2. Proposals may be withdrawn by written notice received at any time before award. Withdrawals are effective upon receipt of notice by the Contracting Officer via the e-mail address listed in Section 5.

6.4. Notifications to Offerors. Selection and non-selection notifications will be sent via e-mail to Offerors (specifically, the registered Business Point of Contact and the designated Principal Investigator as entered on the proposal cover page on the DTRA proposal submission website). The e-mail will be sent from the DTRA proposal submission website on or about the date specified in Attachment 9. A synopsis in the form of a debriefing summary statement will be electronically available to Offerors via the DTRA proposal submission website. The e-mail

notifications will advise of the statement availability. Additionally, notification of apparent successful Offerors will be posted to the FedBizOpps page on or about the date specified in Attachment 9.

6.4.1. Offerors must be aware that it is their responsibility to ensure that e-mail notifications reach the designated Business Point of Contact and Principal Investigator and that e-mail notifications are not blocked due to the use of 'spam blocker' software or other means that the recipient's Internet Service Provider may have implemented as a means to block the receipt of certain e-mail messages. Additionally, it is the responsibility of the Business Point of Contact to inform DTRA of any updates to e-mail addresses for both themselves as the registered Business Point of Contact and for the designated Principal Investigator.

6.5. Two-Phased Submission. This BAA will be conducted in two phases as follows:

6.5.1. Phase I – Offerors shall submit a Quad Chart, White Paper, and Safety and Security documentation to be evaluated in Phase I. Proposals will be evaluated against criteria as described in Attachment 10 of this BAA. Based on this evaluation, selected Offerors will be invited to submit full proposals for evaluation under Phase II.

6.5.1.1.1. Quad Chart Format: All Quad Charts, UNCLASSIFIED and CLASSIFIED, should include the information indicated on the sample template located in Attachment 2.

6.5.1.1.2. Safety and Security Documents. (No page limit) All Offerors must provide documentation supporting their ability to work with NTAs and other advanced or emerging threat agents or an explanation of why this is not necessary for the work proposed. The documents should address the following:

- Document that the work will be performed at a facility with appropriate facility clearance which must be documented by submitting a copy DD Form 441 or equivalent or relevant international disclosure mechanism for sharing classified information -at the SECRET level- with the United States, and a facility CAGE Code or SECRET-level safeguarding capability that can be verified by the Industrial Security Facilities Database (ISFD) at the time of award;
- Include a list and detailed description of positions with (and capable of maintaining) SECRET-level personnel security clearances including areas of expertise and level of training;
- Include a description of all laboratory (physical and life science [in vivo and in vitro]), test and computer facilities available for physical and medical countermeasure RDT&E with the spectrum of novel and emerging threat agents at both the UNCLASSIFIED and SECRET levels;
- Include a description of all laboratory and facility safety and security procedures (i.e. Biological Safety Levels, Bio-surety, Chemical Surety, personnel reliability program and/or its equivalent, etc.);
- Include a list of the specific agents (chemical, toxin and/or biological) the lab has worked with in the past at the classified levels and what types of research was done on these agents (e.g. development of physical or medical countermeasures, agent characterization, toxicology, pharmacology, etc.). In the case of chemical agents, they need to specify

- whether or not this research was carried out with neat or dilute compound; and also specify whether or not they are currently able to work with neat or dilute compounds; and
- Include assurance that the Offeror will notify DTRA/J9CBS and DTRA/J4CRC of any changes to the above.

6.5.1.1.3. White Paper Narrative Format. All white papers should include the information indicated on the sample template located in Attachment 3.

6.5.2. Phase II - Full Proposal Submission and Content. The Phase II proposal must be prepared in three separate volumes: Volume I – Technical Proposal; Volume II – Cost Proposal; and Volume III – Supplemental Information, to include a Statement of Work, an updated Quad Chart, and Safety and Security Documentation. Each volume submitted must have page numbers and date.

6.5.2.1. Volume I – Technical Proposal. The technical proposal must include the components included in the template as shown in Attachment 4.

6.5.2.2. Volume II – Cost Proposal. A template for breaking down the cost by task is provided in Attachment 5.

6.5.2.3. Volume III – Supplemental Information. This volume must contain the items listed in Attachment 6. If any particular item is not relevant to the proposed effort, include a reference to the requested information and state that the particular information is not applicable in order to confirm a negative response.

6.5.1.4. Disclosure of Information:

6.5.1.4.1. The Quad Chart portion of the submission will not contain information deemed trade secret, confidential or proprietary by the Offeror.

6.5.1.4.2. The white paper/proposal submitted in response to this BAA may contain technical and other data that the Offeror does not want disclosed to the public or used by the Government for any purpose other than proposal evaluation. Public release of information in any white paper/proposal submitted will be subject to existing statutory and regulatory requirements. If proprietary information which constitutes a trade secret, proprietary commercial or financial information, confidential personal information, or data affecting the national security, is provided by an Offeror in a white paper/proposal, it will be treated in confidence, to the extent permitted by law, provided that the following legend appears and is completed on the front of the white paper/proposal: “For any purpose other than to evaluate the white paper/proposal, this data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part, provided that if an award is made to the Offeror as a result of or in connection with the submission of this data, the Government shall have the right to duplicate, use or disclose the data to the extent provided in the agreement. This restriction does not limit the right of the Government to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction is contained in page(s) _____ of this white paper/proposal.” Any other legend may be unacceptable to the Government and may constitute

grounds for removing the proposal from further consideration without assuming any liability for inadvertent disclosure. The Government will limit dissemination of properly marked information to within official channels. In addition, the pages indicated as restricted must be marked with the following legend: “Use or disclosure of the white paper/proposal data on lines specifically identified by asterisk (*) are subject to the restriction on the front page of this white paper/proposal.” The Government assumes no liability for disclosure or use of unmarked data and may use or disclose such data for any purpose.

6.5.1.5. In the event that properly marked data contained in a white paper/proposal submitted in response to this BAA is requested pursuant to the Freedom of Information Act, 5 USC 552, the Offeror will be advised of such request and, prior to such release of information, will be requested to expeditiously submit to DTRA a detailed listing of all information in the white paper/proposal which the Offeror believes to be exempt from disclosure under the Act. Such action and cooperation on the part of the Offeror will ensure that any information released by DTRA pursuant to the Act is properly identified.

6.5.16. Summary of Required Documents for CLASSIFIED Proposals

When an Offeror is submitting a proposal that contains CLASSIFIED information, an UNCLASSIFIED version of certain documents will also be required, as outlined in the following table:

DOCUMENT	PHASE I		PHASE II	
	UNCLASSIFIED	CLASSIFIED	UNCLASSIFIED	CLASSIFIED
Cover Sheet	X		X	
Quad Chart	X	X	X	X
White Paper	X	X		
Safety and Security Documents		X		X
Vol. I Technical Proposal				X
Vol. II Cost Proposal			X	X
Vol. III Supplemental Information			X	X

7. TOPICS

Attachment 9 presents the list of topics with associated requirements for which proposals are sought. Each proposal submitted may address one topic only. It is incumbent on the Offeror to conduct independent research to understand how the specific technology proposed can be properly applied to the requirements. Offerors may submit multiple, discrete proposals.

8. INFORMATION TO BE REQUESTED FROM SUCCESSFUL OFFERORS

Offerors whose proposals are selected for potential award may be contacted to provide additional information required for award. Such information may include revisions to the costs or cost

explanations and other information applicable to the proposed award. Offerors that are not responsive in a timely manner to Government requests for information (defined as meeting Government deadlines established and communicated with the requests) may be removed from award consideration as determined by the Contracting Officer. Offerors that request significant revisions to their proposals subsequent to their selection for potential award (including revisions to proposed intellectual property restrictions and proposed procurement instrument) may be removed from award consideration. Offerors may also be removed from award consideration if the Offeror and the Government fail to negotiate mutually agreeable terms within a reasonable period of time.

9. EXPORT CONTROL NOTIFICATION

Offerors are responsible for ensuring compliance with all export control laws and regulations that may be applicable to the export of and foreign access to their proposed technologies. Offerors may consult with the Department of State with any questions regarding the International Traffic in Arms Regulation (ITAR) (22CFR Parts 120 – 130) and/or the Department of Commerce regarding the Export Administration Regulations (EAR) (15 CFR Parts 730-774). The Department of State publishes guidance on the ITAR at <http://www.pmddtc.state.gov>. Department of Commerce guidance on the EAR is located at <http://www.bis.doc.gov>.

10. LIMITATION ON OTHER TRANSACTIONS

Offerors are advised that an Other Transaction for Prototype Agreement (OTA) (P.L. Law 103-160 § 845) may only be awarded if there is:

- a. At least one nontraditional defense contractor participating to a significant extent in the prototype project, or
- b. No nontraditional defense contractor is participating to a significant extent in the prototype project, but at least one of the following circumstances exists:
 - i. At least one third of the total cost of the prototype project is to be paid out of funds provided by the parties to the transaction other than the federal Government. The cost share should generally consist of labor, materials, equipment, and facilities costs (including allocable indirect costs).
 - ii. Exceptional circumstances justify the use of a transaction that provides for innovative business arrangements or structures that would not be feasible or appropriate under a FAR/DFARS based contract.
- c. Although use of one of these options is required to use an OTA as the procurement vehicle, no single option is encouraged or desired over the others.

NOTE: For purposes of determining whether or not a participant may be classified as a non-traditional defense contractor and whether or not such participation is determined to be participating to a significant extent in the prototype project, the following definitions are applicable:

“Non-traditional defense contractor” means an entity that is not currently performing and has not performed, for at least the one-year period preceeding this solicitation, any of the following for the Department of Defense:

- i. any contract that is subject to full coverage under the cost accounting standards prescribed pursuant to section 26 of the Office of Federal Procurement Policy Act (41 U.S.C. 422 | [41 USCS §§ 1501 et seq.]) and the regulations implementing such section; or
- ii. any other contract in excess of \$500,000 under which the contractor is required to submit certified cost or pricing data under section 2306a of this title [10 USCS § 2306a]..

“Participating to a significant extent in the prototype project” means that the nontraditional defense contractor is supplying a new key technology or product, is accomplishing a significant amount of the effort wherein the role played is more than a nominal or token role in the research effort, or in some other way plays a significant part in causing a material reduction in the cost or schedule of the effort or an increase in performance of the prototype in question.

NOTE: Offerors are cautioned that if they propose the use of an OTA, the Government reserves the right to negotiate either a FAR based procurement contract, or Other Transaction for Prototype Agreement as it deems is warranted under the circumstances.

11. TECHNICAL AND ADMINISTRATIVE SUPPORT BY NON-GOVERNMENT PERSONNEL

It is the intent of DTRA to use non-Government personnel (e.g. contractor support personnel) in the review and administration of all submittals (Phase I and Phase II) for this BAA. Participation in the BAA requires DTRA J9CB Advisory and Assistance Services (A&AS) support contractor employees, contracted contract specialist support and proposal submission website support, listed hereto, to have access to proposal information including information that may be considered proprietary. Phase II proposals, in some instances, may require other non-Government personnel from Academia to serve as peer reviewers with access to proposal information including information that may be considered proprietary. All individuals in these categories having access to any proprietary data shall execute nondisclosure agreements certifying that they will not disclose any information pertaining to this solicitation including any proposal submittals, the identity of any submitters, or any other information relative to the proposal. The contracts for provision of support personnel contain Organizational Conflict of Interest provisions and include contractual requirements for non-disclosure of proprietary contractor information. Additionally, contractor employees in their role as an A&AS support contractor to DTRA will provide technical input in an advisory role as subject matter experts (SMEs) to the Government reviewers in addition to providing administrative support in the management of the proposals and their technical review. All Offerors to this BAA consent to the disclosure of their information to the contractors below and their subcontractors..

Exelis Incorporated, Advanced Engineering & Sciences Division,
2560 Huntington Ave. # 200,
Alexandria, VA 22303-1404

TASC, Inc.
4805 Stonecroft Boulevard
Chantilly, VA 20151

Institute for Defense Analyses
4850 Mark Center Drive
Alexandria, VA 22311

Suntiva, LLC
7600 Leesburg Pike, Suite 440E
Falls Church, VA 22043

SBG Technology Solutions, Inc.
1000 North Payne Street, Suite 300
Alexandria, VA 22314

12. MANUFACTURING READINESS LEVELS (MRL)

12.1. The Government Accountability Office (GAO) has issued a Report to Congressional Committees titled “Best Practices: Stronger Practices Needed to Improve DOD Technology Transition Processes” (September 2006, GAO-06-883). The report can be accessed at: <http://www.zyn.com/sbir/reference/GAO-d06883.pdf> or obtain summary at: <http://www.gao.gov/highlights/d06883high.pdf>

12.2. In an attempt to address the concerns of the GAO, certain technology topics in this BAA (in Attachment 9) may state “MRL should be considered”. For those topics, refer to the following questions presented below. Although these questions do not need to be specifically addressed in the proposal submission, these questions will be addressed during the project’s period of performance to facilitate opportunities to better improve the potential for transitioning the technology development to an acquisition program.

12.3. Manufacturing Readiness Level Questions

12.3.1. Has the technology reached a minimum Technology Readiness Level (TRL) 4 or higher? Refer to Attachment 2 for TRL definitions.

12.3.2. If yes, give consideration to the following Manufacturing Readiness Level questions, where applicable:

12.3.2.1. General

- Is the technology reproducible?
- If so, have the critical features and attributes been characterized using quantitative methods?
- Are the performance and/or purity requirements measurable using standard laboratory methods?

12.3.2.2. Technology and Industrial Base

- Have manufacturing capabilities been anticipated/identified that are not readily available in the current industrial base?
- Are any potential manufacturing shortfalls documented?
- Are new materials, components, skills, and facilities anticipated?
- If so, are any potential sources/resources identified and documented?
- Have commercial potentials (e.g., spin-on, spin-off and dual-use) been considered?

12.3.2.3. Materials

- Have all concept materials been compared to EPA lists of hazardous materials?
- Are any potential hazards identified and documented for the manufacture or use of the technology?

13. SYSTEM FOR AWARD MANAGEMENT (SAM)

13.1 DTRA requires that all Offerors be registered in the SAM database at the time of Phase I proposal submission, during performance, and through final payment of any contract/agreement resulting from this BAA. SAM registration information also must be included in Volume III, Supplemental Information, of the Phase II full proposal.

You may register with SAM by calling the SAM Customer Service Center at 1-866-606-8220 or you may register online at <http://www.sam.gov>. You will NOT be able to complete your SAM registration until SAM has confirmed your Employer Identification Number (EIN) or Taxpayer Identification Number (TIN) with the Internal Revenue Service (IRS).

Please note that it will take 24-48 hours for IRS to validate your TIN. According to the IRS, if you do not currently have an EIN and need to apply for one over the phone or Internet, you will be given a tentative EIN, but your EIN may not become active for up to two (2) weeks. If you have questions about your EIN, please call 1-800-829-4933.

13.2 REPRESENTATIONS AND CERTIFICATIONS

Representations and Certifications must be completed at the time of Phase II submission. The Offeror must complete the annual representations and certifications electronically via the System for Award Management (SAM) website at <http://www.sam.gov>. After reviewing the SAM information, the Offeror verifies by submission of the offer that the representations and certifications currently posted electronically have been entered or updated within the last 12 months, inclusive of the following, which are not yet in the Reps/Certs system:

- FAR 52.209-7 Information Regarding Responsibility Matters;
- FAR 52.225-20 Prohibition on Conducting Restricted Business Operations in Sudan-- Certification;
- DFARS 252.209-7001, Disclosure of Ownership or Control by the Government of a Terrorist Country;
- DFARS 252.247-7022 Representation of Extent of Transportation by Sea; and DFARS 252.225.7031 Secondary Area Boycott of Israel;
- DFARS 252.203-7000 Requirements Relating to Compensation of Former DoD Officials.

- DFARS 252.203-7005 Representation Relating to Compensation of Former DoD Officials. (NOV 2011)
- DFARS 252.209-7003 Reserve Officer Training Corps and Military Recruiting on Campus—Representation.
- DFARS 252.209-7997 Representation by Corporation Regarding an Unpaid Delinquent Tax Liability or a Felony Conviction Under Any Federal Law – DoD Appropriations (Deviation 2013-O0006) (January 2013)

Additionally, the Offeror verifies the electronic representations and certifications are current, accurate, complete, and applicable to this BAA (including the business size standard applicable to the NAICS code referenced for this BAA, as of the date of this offer and are incorporated in this offer by reference (see FAR 4.1201).

14. PROTECTION OF HUMAN SUBJECTS

14.1. If the proposed research involves human subjects or materials, Offerors are required to outline the human use, to include the source of the human subjects or materials involved in the research. This information, if applicable, must be included in Volume III, Supplemental Information, of the Phase II full proposal. Further information may be required if the proposal is successful.

14.2. All research under any award made under this BAA involving human subjects must be conducted in accordance with 32 CFR 219, 10 U.S.C. § 980, and DOD Instruction 3216.2, and, as applicable, 21 CFR parts 11, 50, 56, GCP, the ICH as well as other applicable federal and state regulations. Contractors must be cognizant of and abide by the additional restrictions and limitations imposed on the DOD regarding research involving human subjects, specifically as regards vulnerable populations (32 CFR 219 modifications to subparts B-D of 45 CFR 46), recruitment of military research subjects (32 CFR 219), and surrogate consent (10 U.S.C. § 980).

14.3. DTRA Directive 3216.01 of October 21, 2011 establishes the DTRA Human Subjects Protection Program, sets forth the policies, defines the applicable terms, and delineates the procedures necessary to ensure DTRA compliance with federal and DOD regulations and legislation governing human subject research. The regulations mandate that all DOD activities, components, and agencies protect the rights and welfare of human subjects of study in DOD supported research, development, test and evaluation, and related activities hereafter referred to as “research.” The requirement to comply with the regulations applies to new starts and to continuing research.

14.4. The DTRA Directive requires that research using human subjects may not begin or continue until the DTRA Research Oversight Board (ROB) has reviewed and approved the proposed protocol. Contractors and subcontractors are required to submit a valid federal assurance for their organization (institution, laboratory, facility) that has been issued by either DOD or the Department of Health and Human Services, and documentation of review of Proposed protocols by the local Institutional Review Board (IRB) to include consent forms for any planned research using human subjects to the DTRA ROB for its review through the contracting officer’s representative (if assigned) or the contracting officer. The ROB review is separate from, and in addition to, local IRB review.

14.5. A study is considered to involve human research subjects if: 1) there is interaction with the subject (even simply talking to the subject qualifies; no needles are required); and 2) if the study involves collection and/or analysis of personal/private information about an individual, or if material used in the study contains links to such information.

14.6. Written approval to begin research or to subcontract for the use of human subjects under the proposed protocol will be provided in writing from the DTRA ROB, through the contracting officer. Both the contractor and the Government must maintain a copy of this approval. Any proposed modifications or amendments to the approved protocol or consent forms must be submitted to the local IRB and the DTRA ROB, through the contracting officer's representative (if assigned) or the contracting officer, for review and approval. Examples of modifications/amendments to the protocol include but are not limited to:

- a change of the Principal Investigator;
- changes in duration or intensity of exposure to some stimulus or agent;
- changes in the information requested of volunteers, or changes to the use of specimens or data collected; or
- changes in perceived or measured risks or benefits to volunteers that require changes to the study.

14.7. Work pursuant to such modifications or amendments must not be initiated without IRB and ROB approval except when necessary to eliminate apparent and immediate hazards to the subject(s).

14.8. Contracts lasting more than one year require IRB review at least annually, or more frequently as required by the responsible IRB. ROB review and approval is required annually. The contractor or subcontractor must provide documentation of continued IRB review of protocols for ROB review and approval in accordance with the Contract Data Requirements List. Work must not continue without renewed ROB approval unless necessary to eliminate apparent and immediate hazards to the subject(s).

14.9. A clause regarding human subjects research will be included in all applicable contracts resulting from this BAA. Non-compliance with any provision of this clause may result in withholding of payments under the contract pursuant to contract terms and conditions. The Government shall not be responsible for any costs incurred for research involving human subjects prior to protocol approval by the ROB.

15. ANIMAL USE

15.1. If the proposed research involves the use of live nonhuman vertebrate animals, Offerors are required to describe the proposed animal use and type of animals being used. This information, if applicable, must be included in Volume III, Supplemental Information, of the Phase II full proposal. The Animal Care and Use Review Office (ACURO), a component of the USAMRMC Office of Research Protections (ORP), must review and approve all animal use prior to the start of working with animals. Therefore, the contractor will be required to complete and submit the animal use appendix titled "Research Involving Animals", after award of

contract, which can be found on the ACURO website: (https://mrmc-www.army.mil/index.cfm?pageid=Research_Protections.acuro&rn=1). Allow two to four months for regulatory review and approval processes for animal studies. Offerors are to build the review time into their project schedules.

15.2. DOD Directive 3216.01, dated September 13 2010, provides policy and requirements for the use of animals in DOD-funded research. The DOD definition of animal is any live non-human vertebrate. For animals, the provisions include rules regarding animal acquisition, transport, care, handling, and use in: (i) 9 CFR parts 1-4, Department of Agriculture rules that implement the Laboratory Animal Welfare Action of 1966 (U.S.C. 2131-2156); and (ii) the “Guide for the Care and Use of Laboratory Animals,” National Institutes of Health Publication No. 86-23.

15.3 Both a DFARS clause and a DTRA clause regarding animal use will be included in all applicable contracts resulting from this BAA. Non-compliance with any term or condition within either clause may result in withholding of payments under the contract pursuant to the contract’s terms and conditions. The Government shall not be responsible for any costs incurred for research involving animals prior to the approvals cited above.

16. BIOLOGICAL DEFENSE RESEARCH PROGRAM (BDRP) REQUIREMENTS: BIOSURETY AND SELECT AGENT USE; CHEMICAL AGENT USE

16.1. Proposals must specify what Select Agent work will be conducted at the Offeror’s facility and what Select Agent work will be performed in other facilities. Proposals also must provide the source of the Select Agents, any appropriate registration information for the facilities, and specify the Laboratory Biosafety Level. All Select Agent work is subject to verification of information and certifications.

16.2. For those contractors conducting research with Bio-safety Levels 3 and 4 material, a Facility Safety Plan must be prepared and made available during the project award phase in accordance with 32 Code of Federal Regulations (CFR) 626.18. (DTRA requires that research using Select Agents not begin or continue until the DTRA has reviewed and approved the proposed agent use

16.3. For proposals that will employ the use of chemical agents, either neat agent or dilute agent, the Offeror must provide approved Facility Standard Operating Procedures that conform to Federal, State, and local regulations and address the storage, use and disposition of these chemical materials.

17. ORGANIZATIONAL CONFLICT OF INTEREST ADVISORY

17.1. Certain post-employment restrictions on former federal officers and employees may exist, including special Government employees (including but not limited to Section 207 of Title 18, United States Code, the Procurement Integrity Act, 41 U.S.C. 423, and FAR 3.104). If a prospective Offeror believes that a conflict of interest exists that relates to the above restrictions, the situation should be raised to the DTRA Contracting Officer before time and effort are

expended in preparing a proposal. Send notification of potential conflict of interest via an e-mail message to the e-mailbox listed in Section 5 of this BAA.

17.2. All Offerors and proposed subcontractors also must affirmatively disclose whether or not they are providing scientific, engineering and technical assistance (SETA), A&AS or similar support, through an active contract or subcontract, to any DTRA technical office(s), the Joint Program Executive Office for Chemical and Biological Defense (JPEO), Assistant to the Secretary of Defense for Nuclear, Chemical, and Biological Defense Programs (ATSD-NCB), or the Office of the Special Assistant for Chemical and Biological Defense and Chemical Demilitarization Programs (OSA (CBD&CDP)). This information must be included in Volume III, Supplemental Information, of the Phase II full proposal. All disclosures must state which office(s) the Offeror supports, and identify the prime contract number. Disclosures must be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organizational conflicts of interest (FAR 9.5) must be disclosed, including facts not specifically described above. The disclosure must include a description of the action the Offeror has taken or proposes to take to avoid, neutralize, or mitigate such conflict.

18. INTELLECTUAL PROPERTY

18.1. PATENTS. Offerors must list any known patents, patent applications, or inventions which the Offeror may be required to license in order to perform the work described in the Offeror's proposal, or which the Government may be required to license to make or use the deliverables of the contract should the Offeror's proposal be selected for award. For any patent or patent application listed above, the Offeror must provide the patent number or patent application publication number, a summary of the patent or invention title, and indicate whether the Offeror is the patent or invention owner. If a patent or invention is in-licensed by the Offeror, identify the licensor.

18.1.1. If any listed patent, patent application or invention is owned or licensed by the Offeror, the Offeror must provide a statement, in writing, if it either owns or possesses the appropriate licensing rights to patent, patent application or invention to perform the work described in the proposal and/or to grant the Government a license to make or use the deliverables for this program. If any listed patent, patent application or invention is not owned or licensed by the Offeror, then the Offeror must explain how it will obtain a license, how the Government may obtain a license and/or whether the Offeror plans to obtain these rights on behalf of the Government.

18.1.2. Be advised that no patent, patent application or invention disclosure will be accepted if identified in the Data Rights Assertion list described in subsection 19.3 below. Government rights in patents, patent applications, and invention disclosures are addressed in the patent rights clause to be included in the contract and therefore, no assertion of limited rights in patents or patent applications will be accepted. The list of patents, patent applications and inventions of this section must be a separate list from the Data Rights Assertion list described below.

18.2. INVENTION DISCLOSURES/PATENTS. See the Patents – Reporting of subject inventions CDRL.

18.3 TECHNICAL DATA AND COMPUTER SOFTWARE.

Offerors responding to this BAA requesting a contract to be issued under the FAR/DFARS shall identify on a Data Rights Assertions List all technical data and computer software, to the extent known at the time that their offer is submitted to the Government, that the Offeror, its subcontractors or suppliers, and potential subcontractors or suppliers, will furnish to the Government with less than “unlimited rights” to use, release and disclosure in accordance with DFARS 252.227-7017, Identification and Assertion of Use, Release or Disclosure Restrictions, and DFARS 252.227-7028, Technical Data or Computer Software Previously Delivered to the Government. The Data Rights Assertion List will contain a table of data deliverables to be furnished to the Government with rights restrictions, as illustrated in DFARS 252.227-7017 (d). This attachment will additionally provide the statement given in DFARS 252.227-7017 (d), signed and dated by an official authorized to contractually obligate the Offeror. If the Offeror will deliver all technical data and computer software to the Government without restrictions, enter “NONE” in this table under the heading “Technical Data or Computer Software to be Furnished with Restrictions.”

Identification and Assertion of Restrictions on the Government's Use, Release, or Disclosure of Technical Data or Computer Software.

The Offeror asserts for itself, or the persons identified below, that the Government's rights to use, release, or disclose the following technical data or computer software should be restricted:

(INTENTIONALLY BLANK)

Technical Data or Computer Software to be Furnished With Restrictions*	Basis for Assertion**	Asserted Rights Category***	Name of Person Asserting Restrictions****
(LIST)*****	(LIST)	(LIST)	(LIST)

*For technical data (other than computer software documentation) pertaining to items, components, or processes developed at private expense, identify both the deliverable technical data and each such item, component, or process. For computer software or computer software documentation identify the software or documentation.

**Generally, development at private expense, either exclusively or partially, is the only basis for asserting restrictions. For technical data, other than computer software documentation, development refers to development of the item, component, or process to which the data pertain. The Government's rights in computer software documentation generally may not be restricted. For computer software, development refers to the software. Indicate whether development was accomplished exclusively or partially at private expense. If development was not accomplished at private expense, or for computer software documentation, enter the specific basis for asserting restrictions.

***Enter asserted rights category (e.g., Government purpose license rights from a prior contract, rights in SBIR data generated under another contract, limited, restricted, or Government purpose rights under this or a prior contract, or specially negotiated licenses).

****Corporation, individual, or other person, as appropriate.

*****Enter "none" when all data or software will be submitted without restrictions.

Date _____
 Printed Name and Title _____

 Signature _____

19. EARNED VALUE MANAGEMENT SYSTEM

Normally, all proposals which will result in a FAR based cost reimbursable type contract and have an estimated total dollar value greater than \$20 million are required to have an Earned Value Management System (EVMS) in accordance with DFARS 252.234-7002. **Do not include this information in the original proposal.** EVMS requirements, if ultimately applicable, will be discussed during negotiations.

20. SUBCONTRACTING

Any Offeror, other than small businesses, submitting a proposal for an award with a value more than as the amount stated in FAR 19.702(a)(1), and that has subcontracting possibilities, must submit a subcontracting plan in accordance with FAR 19.704(a) (1) and (2). This information, if

applicable, must be included in Volume III, Supplemental Information, of the Phase II full proposal. The plan format is outlined in FAR 19.7. Pursuant to Section 8(d) of the Small Business Act (15 U.S.C. § 637(d)), it is the policy of the Government to enable small business and small disadvantaged business concerns to be considered fairly as subcontractors to contractors performing work or rendering services as prime contractors or subcontractors under Government contracts, and to assure that prime contractors and subcontractors carry out this policy.

A subcontracting plan identifies the Offeror's approach to awarding subcontracts to small business, small disadvantaged business, women-owned small business, service-disabled veteran owned small business, and Historically Underutilized Business Zone (HUBZone) small business concerns. A DCMA approved master plan may be submitted in lieu of an individual contract plan. The plan must address the requisite narrative descriptions, statements, and assurances as specified by FAR 19.704(a)(4) through FAR 19.704(a)(11). The emphasis of the plan must be to maximize small business participation to the maximum extent practicable. The current DOD subcontracting goals are as follows:

<u>Percentage of subcontracted dollars</u>	
Small Business	36.7%
HUBZone Small Business	3%
Small Disadvantaged Business	5%
Women-Owned Small Business Concerns	5%
Service-Disabled Veteran Owned Small Business	3%

Note: Provide rationale if the Small Disadvantaged Business goal cannot be achieved per DFARS 219.705-4(d)

21. RECOMMENDED AWARD VEHICLE AND CONTRACT TYPE

Offerors must include in the Phase II proposal (Volume III – Supplemental Information) a summary of the recommended award vehicle (e.g., FAR based contract, ota) and contract type (e.g., fixed price, cost, cost plus fixed fee, etc.) and include rationale for their use. However, the Government reserves the right to make the final determination and award the type of instrument determined most appropriate under the specific acquisition. It is anticipated that most instruments will be contracts with a Cost or Cost Plus Fixed Fee pricing arrangement.

22. AUTHORIZED NEGOTIATORS

Offerors must include the name, title, mailing address, telephone number, fax number, and e-mail address of those individuals authorized to negotiate with the Government. This information must be included in Volume III, Supplemental Information, of the Phase II proposal.

23. STATEMENT OF CURRENT AND PENDING SUPPORT

Offerors must include in the Phase II proposal a statement of current and pending support of related work, and this information must be included for each investigator listed in the proposal. This statement requires that each investigator specify all grants and contracts through which he or she is currently receiving or may potentially receive financial support. This information must be included in Volume III, Supplemental Information, of the Phase II full proposal.

By submission of this list, the Offeror certifies it is not being funded for the effort described in the proposal.

24. CONFIRMED PROPOSAL EXPIRATION DATE

Offerors must provide written confirmation under Phase II that cost proposals will remain valid for a period of one year beyond the applicable topic's Phase II closing date. Subsequent extensions of this expiration date may be requested by the Government.

25. MODIFIED PREAWARD CHECKLIST - SF1408

Any Offeror awarded a cost type contract must be in compliance with FAR 16.301-3 "Limitations" restrictions. Specifically, the contractor's accounting system must be adequate for determining costs applicable to the contract; and will be subject to DCAA audit and surveillance during performance to provide reasonable assurance that efficient methods and effective cost controls are being used. Offeror's are required to submit a Modified Preaward Checklist (SF 1408), which will expedite the pre-award survey of the accounting system by DCAA. Refer to www.dcaa.mil for further assistance preparing an adequate cost proposal.

26. FORWARD PRICING RATE AGREEMENT

Offerors should include a copy of any current Forward Pricing Rate Agreements with Government agencies, such as the Defense Contract Management Agency (DCMA) or, for non-profit organizations, the Office of Naval Research (ONR). If no agreement has been made with a Government representative, provide all rates, factors, and bases by year utilized in the development of the proposal and the basis of those rates and factors.

27. EXHIBITS: STANDARD FAR/DFARS/DTRA CLAUSES

The separately attached EXHIBITS 1-5 are supplied as a guide for Offerors to review potential FAR, DFARS, and DTRA clauses that may be included in awards resulting from this BAA. The templates reflect current clauses required by regulation at the date of BAA posting; however, the FAR and its supplements are amended periodically to reflect current Federal Statutes. It should be noted that the clauses applicable to each contract will be negotiated on a proposal-by-proposal basis. The exhibits are supplied as a planning tool for Offerors to build good proposals and familiarize themselves with expediting future awards that may occur throughout the period of the BAA. The templates are based on business size or status as follows:

- EXHIBIT 1: LARGE BUSINESS STANDARD CLAUSES**
- EXHIBIT 2: SMALL BUSINESS STANDARD CLAUSES**
- EXHIBIT 3: NON-PROFIT ORGANIZATION STANDARD CLAUSES**
- EXHIBIT 4: UNIVERSITY STANDARD CLAUSES**
- EXHIBIT 5: INTERNATIONAL STANDARD CLAUSES**

28. EXHIBIT: CONTRACT DATA REQUIREMENTS LIST (CDRL)

The separately attached EXHIBIT 6 is a list of potential CDRLs in the form of DD Form 1423's reflecting potential deliverables under a contract awarded under this BAA. The CDRL lists those data deliverables that are required, under the terms of the contract, to be delivered to the Government in accordance with the information in the CDRL and the contract itself. The CDRL will identify the necessary information needed by the contractor to deliver acceptable data items to the Government. This includes a description of the data item, any acceptance criteria, the format of the deliverable, and any delivery information.

29. LIFE SCIENCES DUAL USE RESEARCH OF CONCERN (DURC)

29.1. If the proposed research involves use of any of the 15-specified agents/toxins listed in the U.S. Government Policy for Oversight of Life Sciences Dual Use Research of Concern; offerors are required to evaluate the proposed project for DURC. All potential DURC projects must be outlined in detail, naming what agent(s) and what research procedure/protocol causes it to be DURC. This information, if applicable, must be included in Volume III, Supplemental Information, of the Phase II full proposal. Further information may be required if the proposal is successful.

29.2. All proposed DURC-identified projects must be conducted in accordance with the US Government Policy for Oversight of Life Sciences Dual Use Research of Concern. Web access for this policy can be found at the following URL:
http://oba.od.nih.gov/oba/biosecurity/pdf/united_states_government_policy_for_oversight_of_durc_final_version_032812.pdf

29.3. If a proposal contains DURC items, the proposal (in phase 2 submittals) should include a discussion of their understanding of DURC issues and risks, and a resultant proposed risk mitigation plan for ensuring DURC compliance throughout the duration of the proposed efforts

29.4 If DURC is applicable, see Attachment 12 for further instructions for the Statement of Work and CDRLs.

30. LIST OF ATTACHMENTS/EXHIBITS:

ATTACHMENT 1 TECHNOLOGY READINESS LEVEL DEFINITIONS

ATTACHMENT 2 QUAD CHART TEMPLATE

ATTACHMENT 3 PHASE I WHITE PAPER FORMAT AND PREPARATION INSTRUCTIONS

ATTACHMENT 4 PHASE II TECHNICAL PROPOSAL TEMPLATE AND PREPARATION INSTRUCTIONS

ATTACHMENT 5 PHASE II COST PROPOSAL TEMPLATE AND PREPARATION INSTRUCTIONS

ATTACHMENT 6 SUPPLEMENTAL VOLUME CHECKLIST

ATTACHMENT 7 STATEMENT OF WORK TEMPLATE AND PREPARATION INSTRUCTIONS

ATTACHMENT 8 PROPOSAL SUBMISSION CHECK LIST

ATTACHMENT 9 MAJOR MILESTONES & PROPOSAL TOPICS

ATTACHMENT 10 EVALUATION CRITERIA AND SELECTION PROCESS

ATTACHMENT 11 STANDARD FORM 1408

ATTACHMENT 12 LIFE SCIENCES DUAL USE RESEARCH OF CONCERN (DURC)

EXHIBITS STANDARD CONTRACT CLAUSES

EXHIBIT 1 LARGE BUSINESS TEMPLATE

EXHIBIT 2 SMALL BUSINESS TEMPLATE

EXHIBIT 3 NON-PROFIT TEMPLATE

EXHIBIT 4 UNIVERSITY TEMPLATE

EXHIBIT 5 INTERNATIONAL BUSINESS TMEPLATE

EXHIBIT 6 CONTRACT DATA REQUIREMENTS LIST

NOTE: Contract Clauses may be accessed through:
[Http://farsite.hill.af.mil](http://farsite.hill.af.mil)